

GRC PLATFORM USER GUIDE

Third Party Risk Management (TPRM)
Functionalities For Third Party Users



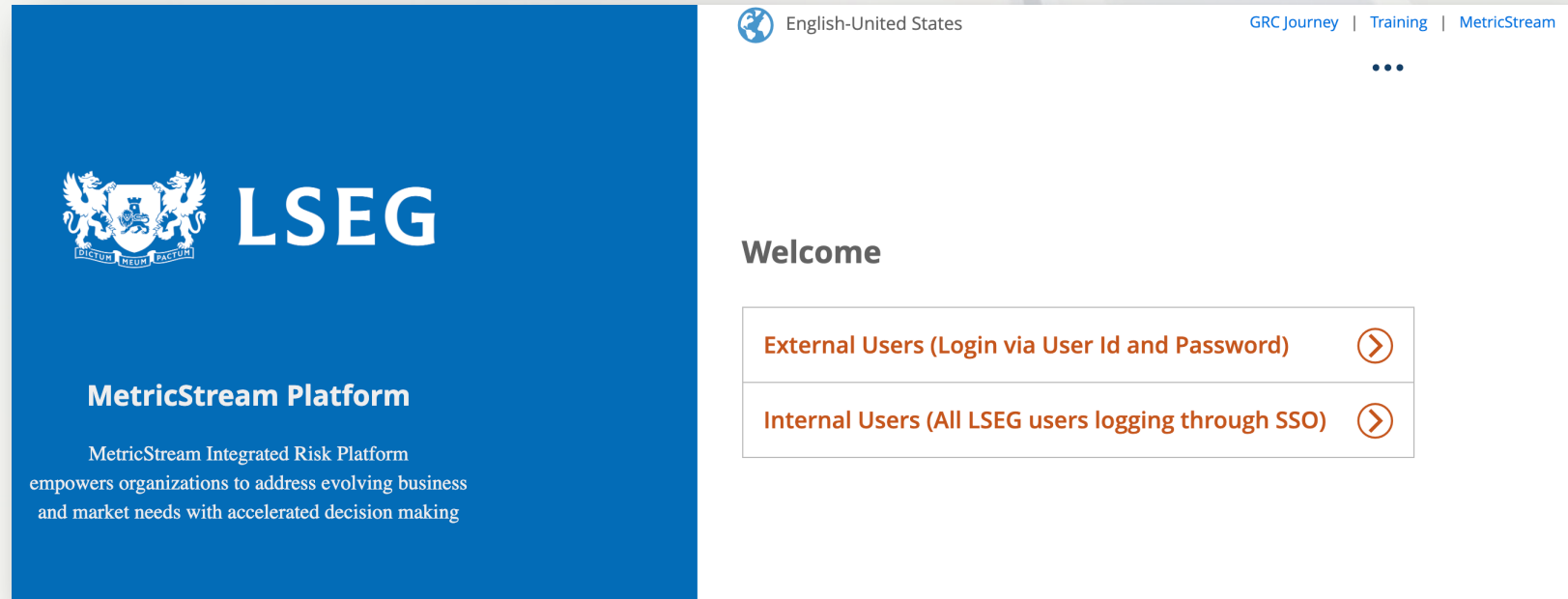
LSEG

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GRC Platform Login Page

- To access the GRC Platform, click on the link below: -
 - <https://lseg.a04a.metricstream.com/metricstream/auth/dual/Login.jsp>
- The link will open the GRC Platform login page as displayed on the right.
- Click on *External Users* option if you are not an LSEG employee (e.g. third party user). You will need to login using the username and password details provided to you.



English-United States | GRC Journey | Training | MetricStream

Welcome

- External Users (Login via User Id and Password)
- Internal Users (All LSEG users logging through SSO)

LSEG

MetricStream Platform

MetricStream Integrated Risk Platform empowers organizations to address evolving business and market needs with accelerated decision making

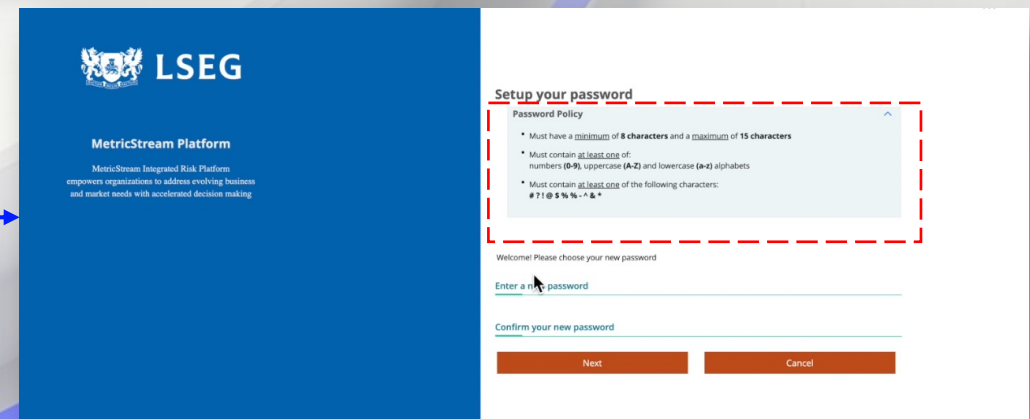
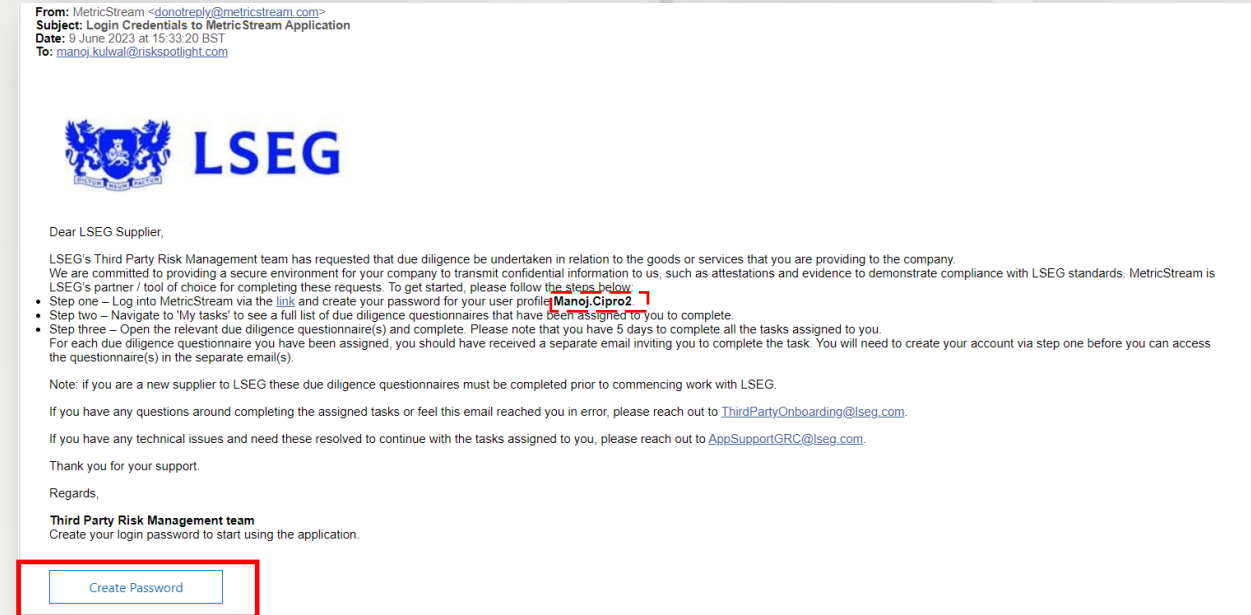
Chapter 1

Topic: Setup of third party user account

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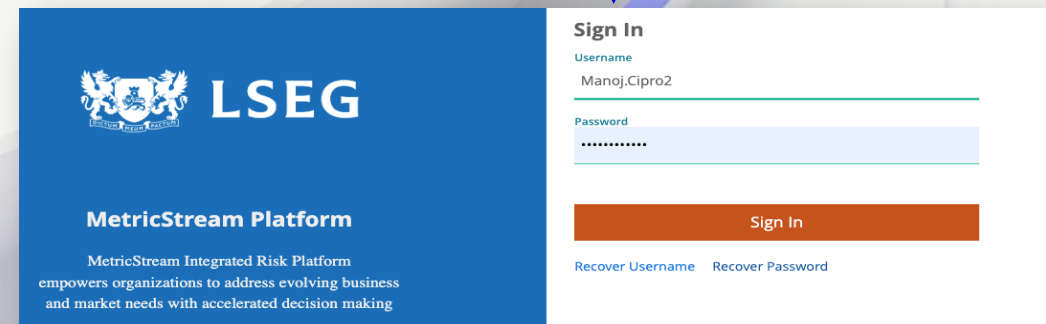
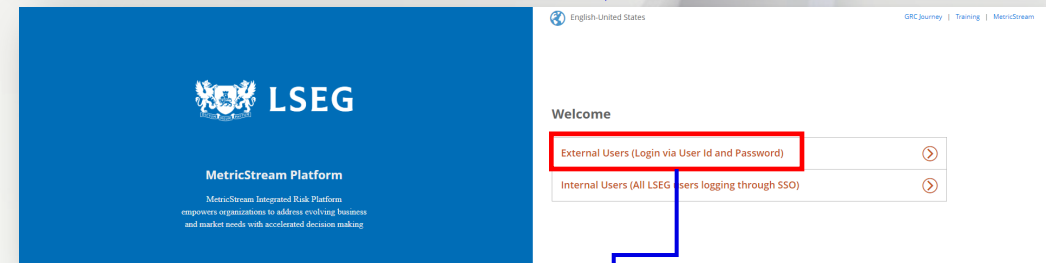
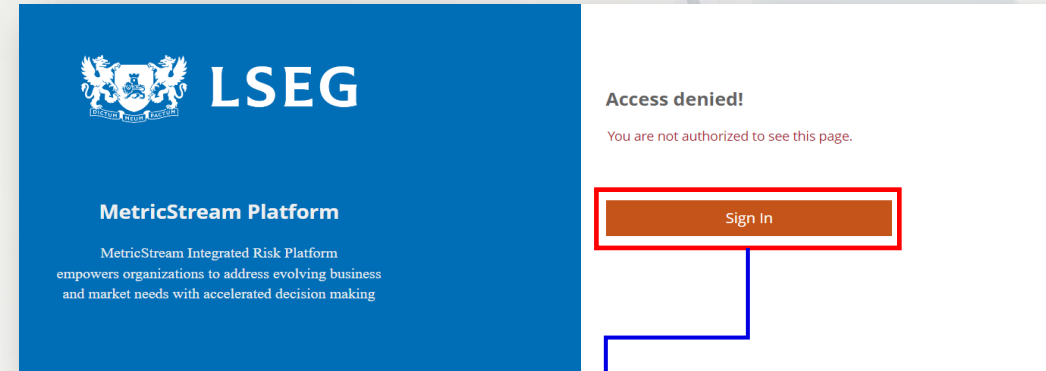
Setting password

- When a third party is created within the GRC Platform, the contact assigned to the third party will receive an automated email from the TPRM application which will look similar to the email displayed here.
- The user name that the third party can utilize to log into the TPRM application is highlighted in the email.
- The third party contact will need to click on the **Create Password** button within this email to setup a password for their user account.
- The password should follow the policy criteria highlighted in the graphic.



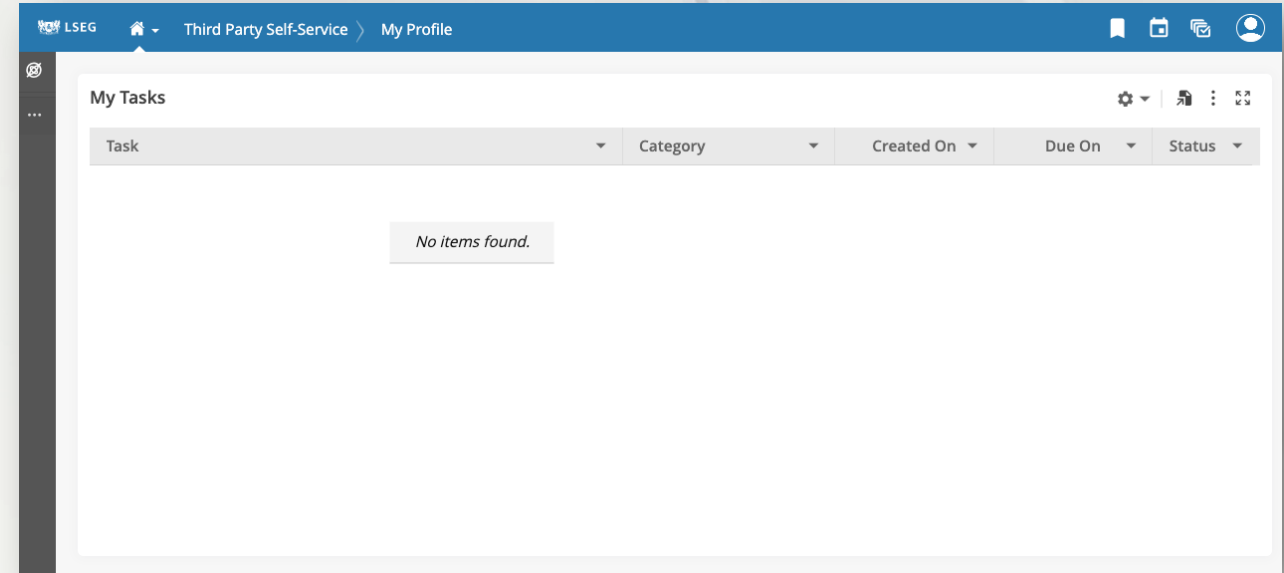
Logging into the TPRM application

- Third parties can test whether they are able to log into the application by clicking on the **Sign In** button.
- They should select the first option *External Users*.
- They should enter their username they received in the email and the password they setup and click on the **Sign In** button. Please note that the username is case sensitive and hence should be captured in the exact case as mentioned in the email displayed on the previous page.



Logging into the TPRM application

- After successfully logging into the application, the third party contact will be able to view the screen similar to the one displayed on this page.
- Any due diligence questionnaires assigned to the third party contact will appear in the *My Tasks* window.



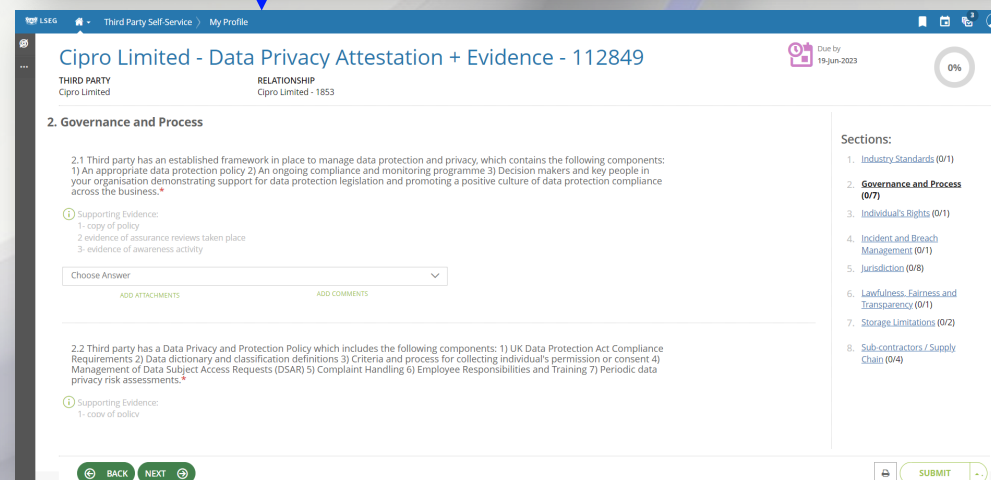
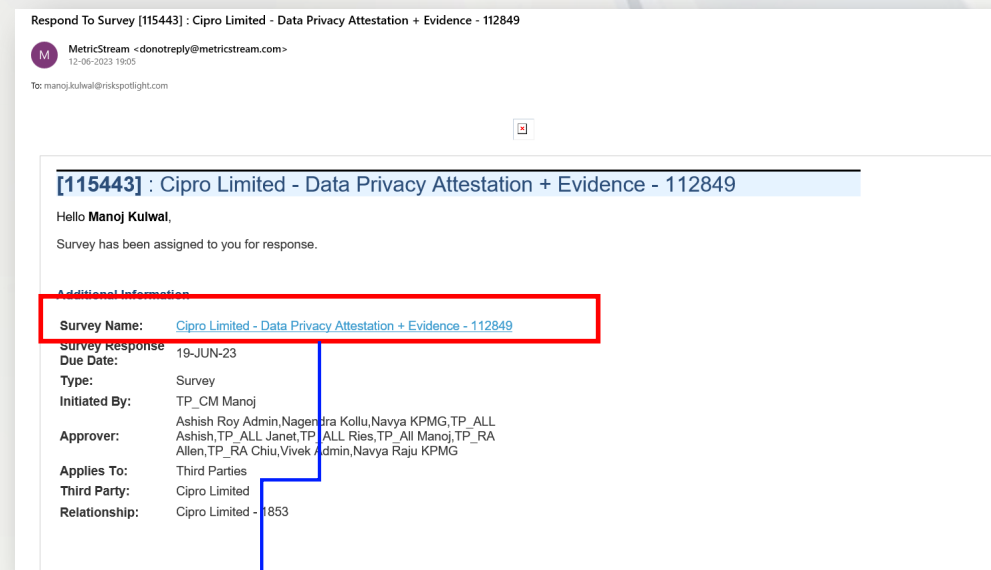
Chapter 2

Topic: Third party responding to due diligence request

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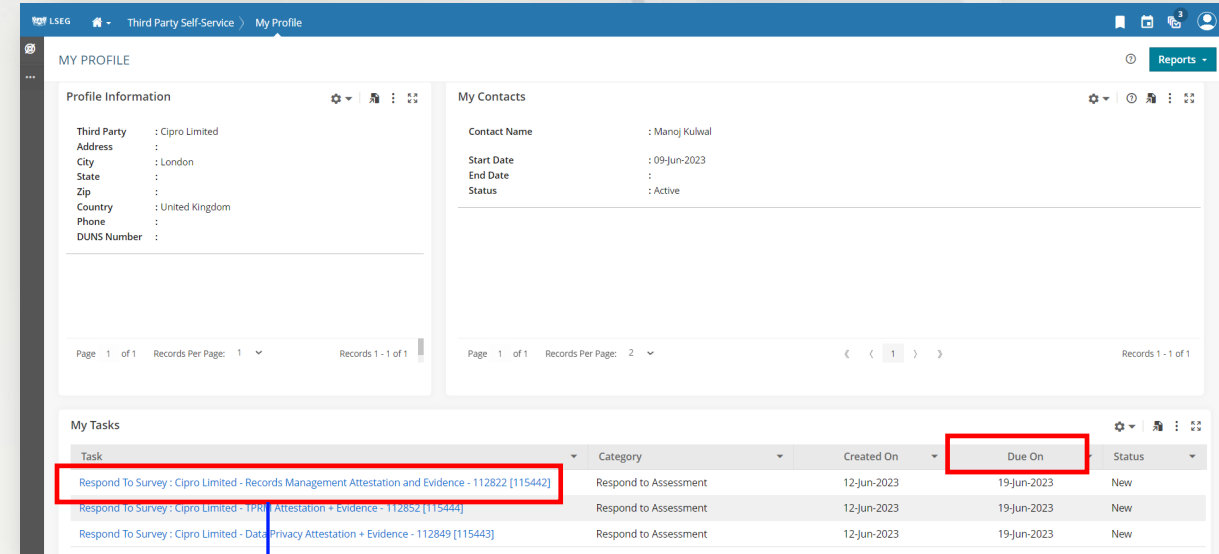
Open the due diligence questionnaires

- Once the due diligence requests are initiated by the case specialists, the assigned third party contact will receive email notification for each questionnaire that was included within the scope of the request. So if three questionnaires were included then the third party contact will receive three separate emails - one for each questionnaire.
- The example here is displaying an email received by a third party for responding to the *Data Privacy* questionnaire. The third party contact can click on the name of the survey to open the survey within the TPRM application.



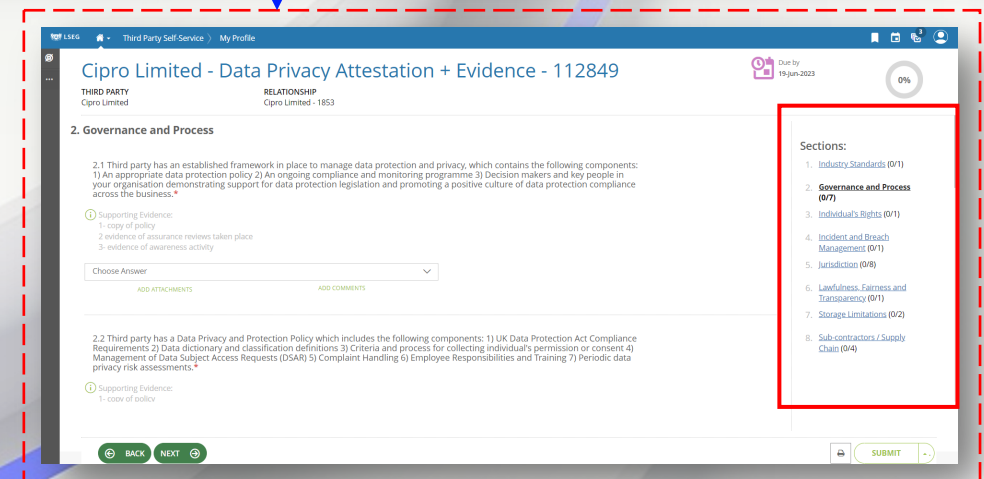
Open the due diligence questionnaires

- Alternatively, third party contact can log into the TPRM application and view all the requested questionnaires. They can view the deadline for submitted the questionnaire in the *Due On* column.
- To open a questionnaire, click on the name of the questionnaire. This will open the questionnaire and display the individual questions that the third party needs to respond to.



The screenshot shows the 'MY PROFILE' page in the LSEG Third Party Self-Service application. It features two main sections: 'Profile Information' and 'My Contacts'. Below these is a 'My Tasks' table. The 'Due On' column in the table is highlighted with a red box. A blue arrow points from this column to the detailed questionnaire view below.

Task	Category	Created On	Due On	Status
Respond To Survey : Cipro Limited - Records Management Attestation and Evidence - 112822 [115442]	Respond to Assessment	12-Jun-2023	19-Jun-2023	New
Respond To Survey : Cipro Limited - TPRM Attestation + Evidence - 112852 [115444]	Respond to Assessment	12-Jun-2023	19-Jun-2023	New
Respond To Survey : Cipro Limited - Data Privacy Attestation + Evidence - 112849 [115443]	Respond to Assessment	12-Jun-2023	19-Jun-2023	New



The screenshot shows the detailed view of the questionnaire titled 'Cipro Limited - Data Privacy Attestation + Evidence - 112849'. The page is divided into sections for '2. Governance and Process'. A 'Sections' sidebar on the right is highlighted with a red box, listing various sections such as 'Industry Standards (0/1)', 'Governance and Process (0/7)', and 'Individual's Rights (0/1)'. The main content area contains text and a 'Choose Answer' dropdown menu.

Respond to the questionnaire

- On the right, various sections of the questionnaire are displayed with the count of questions included in each section.
- The red asterisk (*) at the end of each question indicates that the question is mandatory and some response should be provided for such questions.

Cipro Limited - Data Privacy Attestation + Evidence - 112849

THIRD PARTY: Cipro Limited | RELATIONSHIP: Cipro Limited - 1853

Due by: 19-Jun-2023 | 0%

2. Governance and Process

2.1 Third party has an established framework in place to manage data protection and privacy, which contains the following components: 1) An appropriate data protection policy 2) An ongoing compliance and monitoring programme 3) Decision makers and key people in your organisation demonstrating support for data protection legislation and promoting a positive culture of data protection compliance across the business.*

Supporting Evidence:
1- copy of policy
2- evidence of assurance reviews taken place
3- evidence of awareness activity

Choose Answer

ADD ATTACHMENTS | ADD COMMENTS

2.2 Third party has a Data Privacy and Protection Policy which includes the following components: 1) UK Data Protection Act Compliance Requirements 2) Data dictionary and classification definitions 3) Criteria and process for collecting individual's permission or consent 4) Management of Data Subject Access Requests (DSAR) 5) Complaint Handling 6) Employee Responsibilities and Training 7) Periodic data privacy risk assessments.*

Supporting Evidence:
1- copy of policy

Sections:

1. [Industry Standards](#) (0/1)
2. [Governance and Process](#) (0/7)
3. [Individual's Rights](#) (0/1)
4. [Incident and Breach Management](#) (0/1)
5. [Jurisdiction](#) (0/8)
6. [Lawfulness, Fairness and Transparency](#) (0/1)
7. [Storage Limitations](#) (0/2)
8. [Sub-contractors / Supply Chain](#) (0/4)

BACK | NEXT | SUBMIT

Respond to the questionnaire

- Third party users should respond to the questions displayed across all the section of the questionnaire.
- If the **Supporting Evidence** note is mentioned below a question and if the third party selects *Mature* or *Satisfactory* response then it is mandatory for them to provide evidence for such responses. This has to be provided in the form of attachments. The attachment is considered as an additional question and hence if the attachment field is displayed below the response, then the count of questions will be increased by one in the **Sections** area of the form.
- To attach the evidence click on the attachment icon highlighted in the graphic and then select the file that should be attached.
- If the user selects any of the other responses then it is not mandatory for them to provide any evidence in form of attachments. However, if appropriate they can attach any supporting documents using the **Add Attachments** option available for each question
- For each question, users can also capture a comment if appropriate. This can be done by clicking on the **Add Comments** option available for each question. This will display the **Comments** box where users can type any explanation for the selected response.

Cipro Limited - Records Management Attestation and Evidence - 112822

THIRD PARTY: Cipro Limited | RELATIONSHIP: Cipro Limited - 1853

1. Governance and Process

1.1 Third Party has a Records Retention Schedule that must have been reviewed and updated within the last 12 months. It should have an approval from senior management and should cover the following: 1) Records Class/Category Name 2) Records Class/Category Description 3) Record Type/Examples 4) Retention Period 5) Citation Jurisdiction specific (Legal Provision) 6) Retention Trigger event.*

Supporting Evidence: Provide a copy of the Records Retention Schedule

Mature

ADD ATTACHMENTS | ADD COMMENTS

Please provide Supporting Evidence.*

Supporting Evidence: Provide a copy of the Records Retention Schedule

Records Management Policy- Cipro Limited.pdf | 794.4 KB

ADD COMMENTS

BACK | NEXT | SUBMIT

18%

Sections:

1. **Governance and Process (2/5)**
2. [User Access Management \(0/1\)](#)
3. [Incident and Breach Management \(0/1\)](#)
4. [Jurisdiction \(0/1\)](#)
5. [Storage Limitations \(0/2\)](#)
6. [Records protection \(0/1\)](#)

1.2 Third Party has a Regulatory Change Framework document that must have been reviewed and updated within the last 12 months. This should have approval from senior management and should have provision on handling of regulatory changes*

Supporting Evidence: Provide a copy of related document pertaining to regulatory change framework

Needs Improvement

ADD ATTACHMENTS | ADD COMMENTS

Our corporate Records Management Policy is currently undergoing approval and this is expected to be completed in the next 8 weeks. We will provide the approved copy to our LSEG contact as soon as this is completed.

(214/4000)

BACK | NEXT | SUBMIT

Sections:

1. **Governance and Process (3/5)**
2. [User Access Management \(0/1\)](#)
3. [Incident and Breach Management \(0/1\)](#)
4. [Jurisdiction \(0/1\)](#)
5. [Storage Limitations \(0/2\)](#)
6. [Records protection \(0/1\)](#)

Respond to the questionnaire

- On the right side of the form, the number of questions responded in each section is displayed.
- Users can jump to questions within a specific section by clicking on the section name.
- Users can download the entire questionnaire in PDF format using the print icon highlighted in the graphic. The PDF file will contain all the questions and the responses provided by the third party. This can be useful if the users wants to share the responses with other individuals in their organization for review or approval.
- The progress indicator displays the percentage of questions responded so far. Once all the responses have been captured for all the questions, the progress indicator will display 100%.
- The third party may require multiple days to respond to the questionnaire. They can save the current responses by clicking on the up arrow icon next to the **Submit** button and selecting the **Save** option. They can click on the **Close** option to close the questionnaire.

The screenshot displays the LSEG Third Party Self-Service interface for Cipro Limited. The main heading is "Cipro Limited - Records Management Attestation and Evidence - 112822". The progress indicator in the top right corner shows 100%. The current section is "2. User Access Management". The question text reads: "2.1 Third Party must ensure that LSEG records are protected from unauthorized access and modification. It must have an Access Control Mechanism Standard/Policy/Process that must have been reviewed and updated within the last 12 months. This should have approval from senior management and should cover the following: a) Definition of a Record b) Records Management lifecycle phases and activities c) Objectives d) Ownership, Scope, and Application e) Minimum Requirements f) Process for the Review/Removal of User Access g) Retention h) Disposal (methods of disposal) i) Roles and Responsibilities j) Glossary Third Party must be able to provide an Access/Permission Restriction Report which includes the following components: a) User ID / User Name b) Access Type (Full Ownership/View Only/Edit option) c) Report Date d) Source of the Access/Permission Restriction Report*". Below the question is a dropdown menu set to "Not Applicable". On the right side, the "Sections" list includes: 1. Governance and Process (5/5) ✓, 2. User Access Management (1/1) ✓, 3. Incident and Breach Management (1/1) ✓, 4. Jurisdiction (1/1) ✓, 5. Storage Limitations (2/2) ✓, and 6. Records protection (1/1) ✓. At the bottom right, the "SUBMIT" button is highlighted with a red box, and a "SAVE" option is visible next to it. Navigation buttons "BACK" and "NEXT" are at the bottom left.

Submit the questionnaire

- Third party can submit the completed questionnaire by clicking on the **Submit** button.
- Users can capture any comments if needed in the **Comments** field and click on the **Submit** button.
- The questionnaire will be removed from the **My Tasks** list and the LSEG risk assessment team members will receive email notification regarding submission of the questionnaire.

The screenshot displays the LSEG Third Party Self-Service interface. The main heading is "Cipro Limited - Records Management Attestation and Evidence - 112822". The user is logged in as "Cipro Limited" with a relationship ID of "Cipro Limited - 1853". The current section is "2. User Access Management". The questionnaire is 100% complete, as indicated by a green progress indicator in the top right corner. The "Submit" button is highlighted in red in the bottom right corner.

2. User Access Management

2.1 Third Party must ensure that LSEG records are protected from unauthorized access and modification. It must have an Access Control Mechanism Standard/Policy/Process that must have been reviewed and updated within the last 12 months. This should have approval from senior management and should cover the following: a) Definition of a Record b) Records Management lifecycle phases and activities c) Objectives d) Ownership, Scope, and Application e) Minimum Requirements f) Process for the Review/Removal of User Access g) Retention h) Disposal (methods of disposal) i) Roles and Responsibilities j) Glossary Third Party must be able to provide an Access/Permission Restriction Report which includes the following components: a) User ID / User Name b) Access Type (Full Ownership/View Only/Edit option) c) Report Date d) Source of the Access/Permission Restriction Report*

Supporting Evidence: a) Provide a copy of the Standard/Policy/Process document b) Provide the Access/Permission Restriction Report

Not Applicable

ADD ATTACHMENTS ADD COMMENTS

Next Section: Incident and Breach Management

Sections:

1. Governance and Process (5/5) ✓
2. User Access Management (1/1) ✓
3. Incident and Breach Management (1/1) ✓
4. Jurisdiction (1/1) ✓
5. Storage Limitations (2/2) ✓
6. Records protection (1/1) ✓

SAVE
CLOSE
SUBMIT

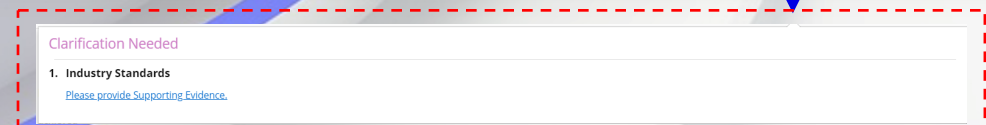
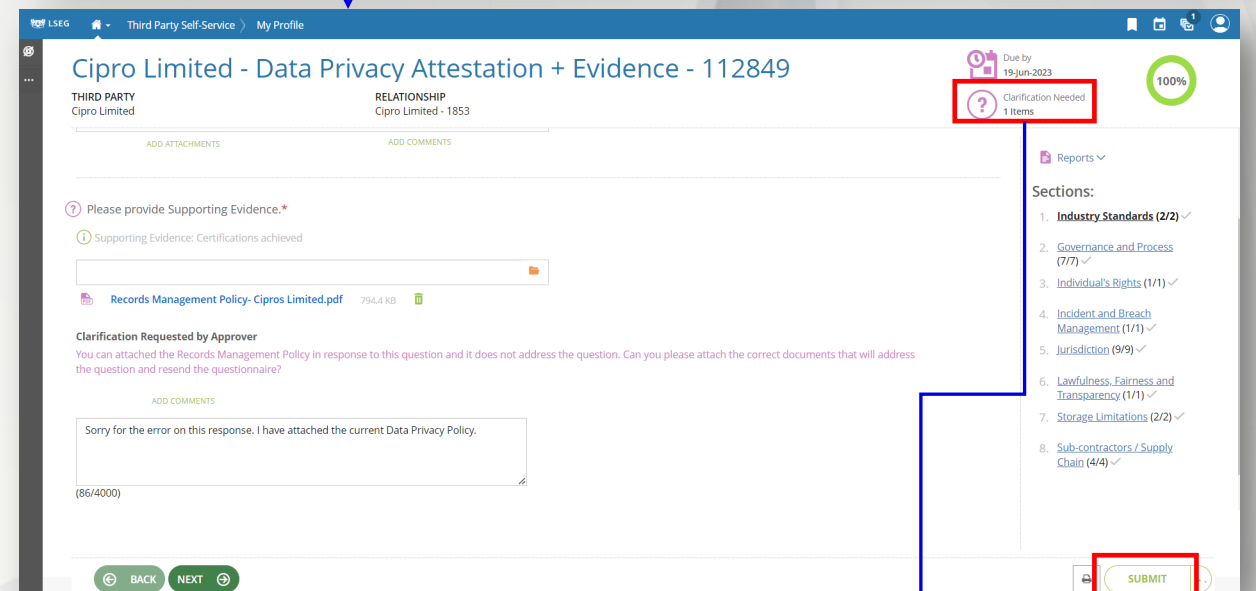
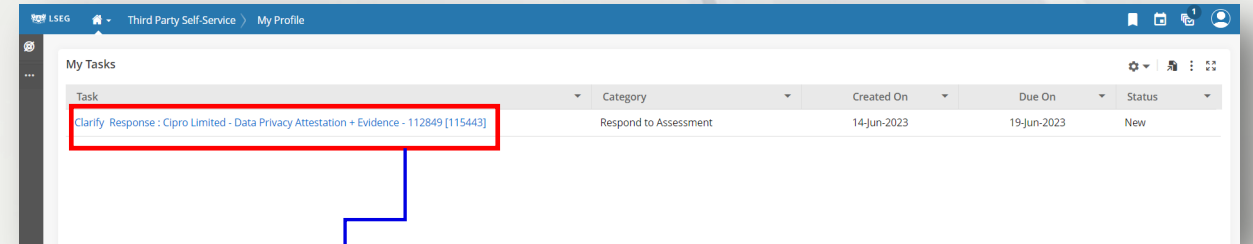
Chapter 3

Topic: Requesting clarifications from third parties

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Providing clarification responses

- LSEG case specialists or risk assessment team members can request clarifications on responses provided by third parties.
- Third party contacts will be able to view the clarification request in the *My Tasks* window and in the Task List.
- They can open the questionnaire by clicking on the task name.
- They can view the number of clarifications requested from the question mark icon highlighted in the graphic and click to view the questions where the clarifications have been requested.
- They can click on the question to jump to a specific question. Here they can view the clarification requested by the risk assessment team.
- They can make the necessary updates.
- They can also capture a text based response by clicking on the **Add Comments** option.
- Once all the clarifications have been provided, they can click on the **Submit** button to send the questionnaire back to the LSEG team.
- Capture any comments in the **Comments** field and click on the **Submit** button.





End of the User Guide

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